



PATENT APPLICATION

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of

Docket No: Q76481

Nobuya ITOH, et al.

Appln. No.: 10/617,034

Group Art Unit: 1621

Confirmation No.: 2707

Examiner: Unknown

Filed: July 11, 2003

For: PROCESS FOR PRODUCING 3-HYDROXYCYCLOHEXANONE

**INFORMATION DISCLOSURE STATEMENT**  
**UNDER 37 C.F.R. §§ 1.97 and 1.98**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

In accordance with the duty of disclosure under 37 C.F.R. § 1.56, Applicant hereby notifies the U.S. Patent and Trademark Office of the documents which are listed on the attached PTO/SB/08 A & B (modified) form and/or listed herein and which the Examiner may deem material to patentability of the claims of the above-identified application.

1. Zhi-Liang Wei et al., "Baker's yeast mediated mono-reduction of 1,3-cyclohexanediones bearing two identical C(2) substituents", *Tetrahedron: Asymmetry*, Vol. 12, 2001, pages 229-233.
2. U.S. Patent No. 4,455,373, issued June 19, 1984, to Higgins.
3. WANG et al., "Cloning, sequence analysis, and expression in *Escherichia coli* of the gene encoding phenylacetaldehyde reductase from styrene-assimilating *Corynebacterium* sp. Strain ST-10", *Applied Microbiology Biotechnology*, Vol. 52, 1999, pp. 386-392. (This reference was previously identified in an Information Disclosure Statement filed December 12, 2003.)
4. European Patent Application No. 1 213 354 A2, published June 12, 2002.
5. European Patent Application No. 1 201 647 A2, published May 2, 2002.

ITOH et al.  
Appln. No. 10/617,034  
Information Disclosure Statement

6. U.S. Patent No. 5,233,095, issued August 3, 1993, to Fellmann et al.

One copy of each of the listed documents except item 3 and other than any U.S. patents and patent publications, is submitted herewith, along with a copy of the corresponding European Search Report dated December 12, 2003.

The present Information Disclosure Statement is being filed: (1) No later than three months from the application's filing date; (2) Before the mailing date of the first Office Action on the merits (whichever is later); or (3) Before the mailing date of the first Office Action after filing a request for continued examination (RCE) under § 1.114, and therefore, no Statement under 37 C.F.R. § 1.97(e) or fee under 37 C.F.R. § 1.17(p) is required.

The submission of the listed documents is not intended as an admission that any such document constitutes prior art against the claims of the present application. Applicant does not waive any right to take any action that would be appropriate to antedate or otherwise remove any listed document as a competent reference against the claims of the present application.

The USPTO is directed and authorized to charge all required fees, except for the Issue Fee and the Publication Fee, to Deposit Account No. 19-4880. Please also credit any overpayments to said Deposit Account. A duplicate copy of this paper is attached.

Respectfully submitted,

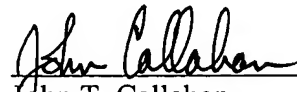
SUGHRUE MION, PLLC  
Telephone: (202) 293-7060  
Facsimile: (202) 293-7860

WASHINGTON OFFICE

**23373**

CUSTOMER NUMBER

Date: January 14, 2004

  
John T. Callahan  
Registration No. 32,607

Substitute for Form 1449 A &amp; B/PTO

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(use as many sheets as necessary)

Complete if Known

Application Number	10/617,034
Confirmation Number	2707
Filing Date	July 11, 2003
First Named Inventor	Nobuya ITOH
Art Unit	1621
Examiner Name	Unknown
Attorney Docket Number	Q76481

Sheet 1 of 1

**U.S. PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Document Number		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document
		Number	Kind Code <sup>2</sup> (if known)		
		US 4,455,373		06-19-1984	Higgins
		US 5,233,095	A	08-03-1993	Fellmann et al.
		US			
		US			
		US			
		US			
		US			
		US			
		US			

**FOREIGN PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document			Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Translation <sup>6</sup>
		Country Code <sup>3</sup>	Number <sup>4</sup>	Kind Code <sup>5</sup> (if known)			
		EP	1 213 354	A2	06-12-2001	Sumitomo Chemical Co.	
		EP	1 201 647	A2	05-02-2002	Sumitomo Chemical Co.	

**NON PATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city, and/or country where published.	Translation <sup>6</sup>
		Zhi-Liang Wei et al., "Baker's yeast mediated mono-reduction of 1,3-cyclohexanediones bearing two identical C(2) substituents", <i>Tetrahedron: Asymmetry</i> , Vol. 12, 2001, pages 229-233	

Examiner Signature

Date Considered

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kind Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov), MPEP 901.04 or in the comment box of this document. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST. 3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to indicate here if English language Translation is attached.